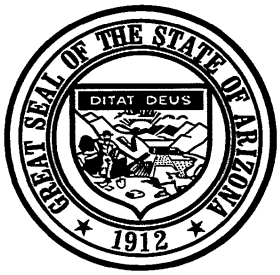
STATE OF ARIZONA



Arizona Department of Transportation

Business Continuity & Contingency Plan

December 2, 1999

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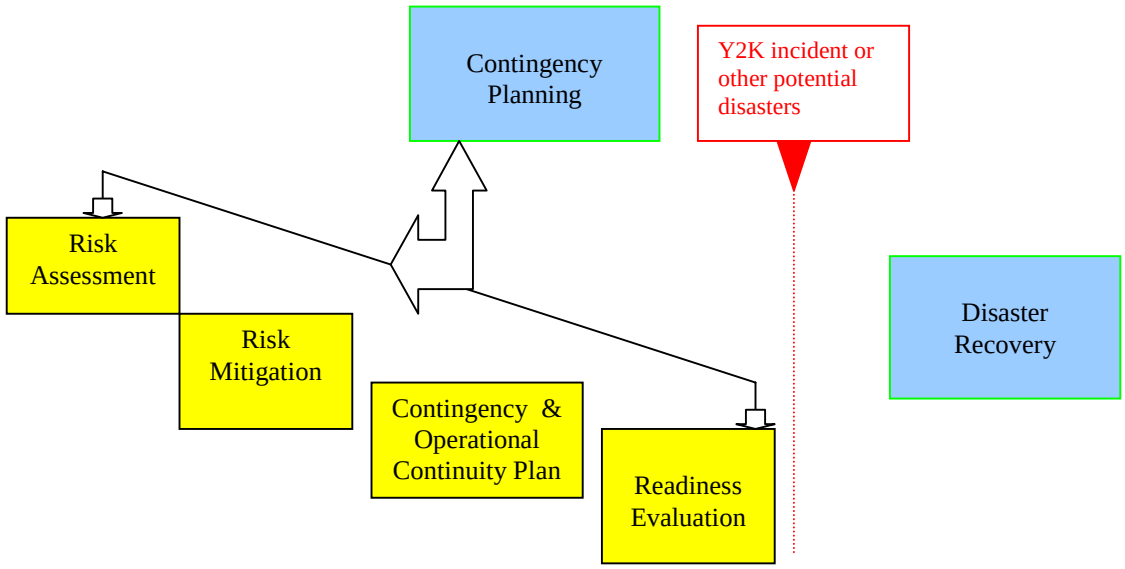
1. Introduction



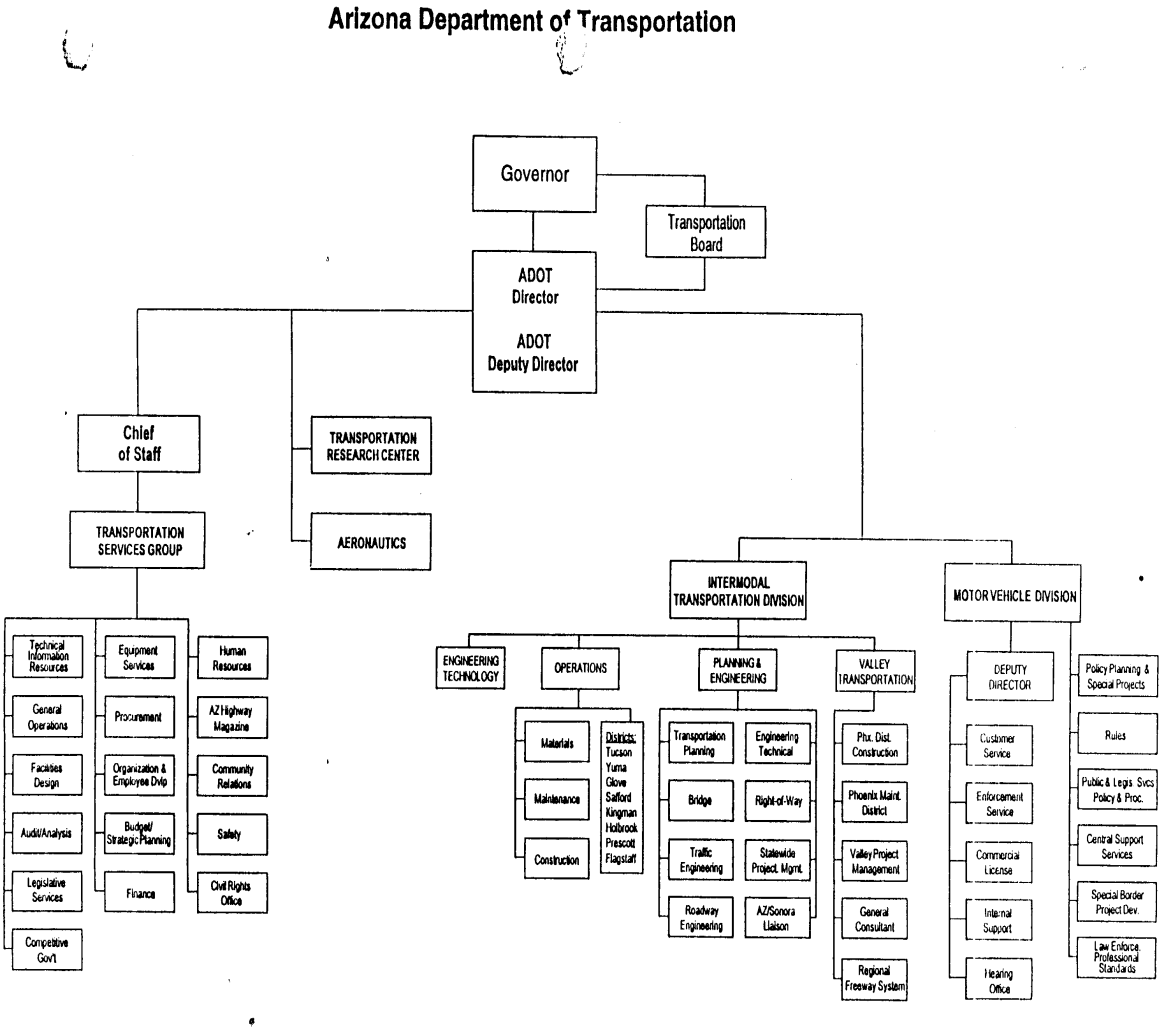
2. Scope

The purpose of this contingency plan is to provide a road map of predetermined actions that will streamline decision-making during any failures that may occur with the Arizona Department of Transportation's (hereafter referred to as ADOT) critical systems due to Year 2000 issues. The contingency plan will enable resumption of mission critical operations at the earliest possible time, and in the most cost-effective manner. Because this plan focuses on Year 2000 issues, it will not address system failures or business continuity issues that develop after January 15, 2000.

The need for contingency planning is to respond to the loss or degradation of essential services due to a Year 2000 problem or issue. A contingency plan describes the steps an agency would take, including the activation of manual processes, to ensure the continuity of its core business processes. It focuses on reducing the risk of Year 2000-induced business failures.

ADOT's contingency plan will document risk, strategies and responsibilities, as well as agreements and understandings for all internal and external entities. Personnel will be trained in the execution of these plans. Relevant contingency information will be exchanged between program and system managers of interfaced systems and with all system users.

3. Organizational Chart



4. ADOT Critical Business Functions

There are two critical business functions that ADOT is most concerned about as we approach the Year 2000: **Public safety** and **revenue disbursement**. We look at safety in terms of our clients, who are the people of Arizona and the Department of Public Safety (DPS). Revenue disbursement is the means in which ADOT collects various revenues (taxes, registrations, and licensing) and then distributes those to various entities across the state.

Safety

There are three systems tied to public safety: *Drivers*, *Title & Registration*, and *FMS*. The Drivers systems is utilized by DPS officers to access drivers license information on a particular person, such as current withdrawals (suspensions, revocations, DWI) or any prior violations. It is imperative this system is online, secure and current due to the sensitive and critical nature of the information.

The Title & Registration (T&R) system is similar to Drivers in that DPS officers access the system to obtain vehicle registration and insurance information. As with Drivers, it is critical that the T&R system be online, secure and current due to the critical nature of the information.

The Freeway Management System (FMS) controls the variable message signs, ramp meters, traffic interchange controllers, and the Highway Conditions and Restriction System (HCRS) for all valley freeways. All of these subsystems aid traffic safety by regulating traffic flow, controlling intersections and informing the public of roadway conditions. It is important these systems are functioning properly come January 1 to prevent any unnecessary traffic incidents.

Revenue

The second critical function ADOT performs is the collection and disbursement of revenues. ADOT collects these revenues from gasoline taxes, vehicle registrations, and licensing. These funds are then disbursed to various cities, counties and entities throughout the state. On average, ADOT collects $80 million each month, of which most is distributed to external entities.

There are two systems used to control the disbursement of these funds: *TARGATS* and *ADVANTAGE*. In short, TARGATS determines the dollar amount each entity will receive. This could be a fixed dollar amount, a fixed percentage or a number based on population. Funds are disbursed monthly. ADVANTAGE provides the transfer documents to ADOA (Arizona Department of Administration) who would then distribute the funds. It is imperative these systems are functioning properly come January 1st to ensure that all external entities continue to receive these funds.

5.1 Planning Phases

5.1.1 High Level Business Continuity Strategy

The continuity strategy follows GAO (General Accounting Office) guidelines as it applies to Year 2000 business continuity and contingency planning. It concentrates on ADOT's core business functions or processes and directs responsibility to various response teams. The plan establishes a project team and command center to report, assess and respond to problems that impact the core business functions of the Department.

In addition, the continuity plan delineates a specific process to follow when an event that may impact Department business has been identified. It will also detail the contingency plan each critical system or core process will fall back on should an emergency occur. The following paragraphs will describe these processes, plans and teams in greater detail. .

5.1.2 Roles and Responsibilities

Management Team

The Management Team provides policy guidance and direction for ADOT's business continuity and contingency plan. It also provides the communication linkage to ADOT resources and the Governor. The team includes:

Director – Mary Peters

Deputy Director – Victor Mendez

Chief of Staff – Sam Maroufkhani

Director, Motor Vehicle Department – Stacey Stanton

Chief Information Officer – Craig Stender

Y2K Project Team

The Y2K Team is responsible for managing the recovery and continuance of all mission critical services and activities. If disaster or an emergency occurs which causes a disruption in service or shortage of resources, the team will provide support necessary to resume normal business operations. The team is staffed as follows:

Sam Maroufkhani – Executive Y2K Sponsor

Craig Stender – Executive Oversight & Support

Stacey Stanton – Executive Oversight & Support

Kurt Mueller – Y2K Project Manager

Terry Linkous – Software & System Development Manager

Tim Wolfe – Traffic Operations Center Manager

Art Paschke – Computer Operations Manager

Gary Ricketts – Computer Systems Engineering Manager

Hala Abushaban – Network Manager

5.1.3 Emergency Response Teams

In the event that failures occur January 1, ADOT has established emergency response teams. These teams are configured by business area and concentrate on ADOT's core business functions and mission critical systems. There is a dedicated point person for each team along with key programmers, technicians and business area experts. If an emergency occurs which affects a particular team or business unit, any one of the individuals on the team can be called. In addition, there is a main Y2K hotline number that people can call for Y2K issues and problems. The following is a breakdown of each of the teams, phone numbers and area of expertise:

Response Team	Member Name	Phone Number(s)	Responsibility
Title & Registration	Sandie Keeling	602-712-8430	Project Manager
	Kim Throckmorton	602-712-7088	Lead Programmer
	Sandy Gross	602-712-8644	Business Area Expert
	Sue Garber	602-712-7390	Business Area Expert
Third Party	Thomas Branham	602-712-7209	Project Manager
Drivers	Teri Oliveira	602-712-8445	Project Manager
	Randy Goetz	602-712-8022	Lead Programmer
	Hilton Ishimoto	602-712-8433	Backup Programmer
	Cindy Gage	602-712-6832	Business Area Expert
	Mary Garcia	602-712-8423	Business Area Expert
Driver Services	Suzan Tasvibi-Tanha	602-712-8857	Project Manager
	Susan Nusbaum	602-712-8964	Lead Programmer
	Alice Smith	602-712-8344	Business Area Expert
TARGATS	Nancy Brown	602-712-6934	Project Manager
	Koni Kirby	602-712-7907	Lead Programmer
	Glenn Weatherford	602-712-8416	Cashiering Programmer
FMS	Tim Wolfe	602-712-6622	Project Manager
	Glenn Jonas	602-712-6587	Technical Lead
	Eleanor Pritchett	602-712-7059	Project Lead
Financial	Elizabeth Dube	602-712-8248	Project Manager
	Joe Woichik	602-712-6947	Lead Programmer
	Karen Perkins	602-712-6948	Backup Programmer
	Larry Ehrke	602-712-6536	General Ledger
	Diane Wascher	602-712-8711	Key Transfer Document

Computer Systems Engineering	Gary Ricketts	602-712-8017	Area Manager
	John Hartley	602-712-6992	Team Lead
	Linda Bruehrer	602-712-7230	IMS Lead
Computer Operations	Arthur Paschke	602-712-7261	Area Manager
	Jim Ganolis	602-712-8049	Operations Analyst
	Timothy Jones	602-712-7565	Operator

5.1.4 Emergency Operations Center

The "Y2K" turn over at the end of the calendar year has created a lot of controversy as to systemic failure in computerized systems. The Arizona Department of Transportation Traffic Operations Center (ADOT-TOC) systems is prepared for the Y2K turn over. In the interest of providing the best service to ADOT, we will be offering the following services throughout the event.

The ADOT-TOC will activate our Emergency Operations Center (EOC) for the time period considered to be critical to Arizona's motoring public during this event. This time frame has been identified as 11:00 a.m., Friday, December 31, 1999 through 9:00 a.m., Monday, January 3, 2000.

While the critical time frame has been identified, communication with all TOCs listed below will be confirmed on the morning of December 30, 1999 to insure that all communication links for the EOC plan have been verified.

The ADOT-TOC EOC will provide satellite television coverage to all news channels throughout the United States and the World. In the unlikely event that a problem should develop in any of these systems, the Staff at the TOC will evaluate the problem for application to Arizona's system. We can then notify all personnel applicable to the effected system and initiate a "fix" before the midnight deadline.

In addition, telephone/Internet communications will be available to the following TOCs:

Tokyo, Japan
Sidney, Australia
Seoul, Korea
Amsterdam, Netherlands
Berlin, Germany

London, United Kingdom
Long Island, New York

Washington, D.C.
Atlanta, Georgia
Minneapolis, Minnesota
Chicago, Illinois
San Antonio, Texas
Salt Lake City, Utah
Bozeman, Montana
Seattle, Washington, and
San Diego, California

Schedule for Operations:

12/31 at	11:00 a.m.	ADOT-TOC EOC will become operational.
	12:30 p.m.	Contact with Tokyo and Sidney TOCs. Identify any problems encountered in these area's. Evaluate information for application in our area.
	2:30 p.m.	Contact Seoul TOC. Evaluate information.
	5:30 p.m.	Contact Berlin and Amsterdam TOCs. Evaluate information.
	7:30 p.m.	Contact London TOC. Evaluate information
	10:30 p.m.	Contact Atlanta, Long Island and Washington, D.C. TOCs. Evaluate information.
	11:30 p.m.	Contact Minneapolis, Chicago and San Antonio TOCs. Evaluate information.
1/1 at	12:30 a.m.	Contact Bozeman and Salt Lake City TOCs.

Evaluate information.

Evaluate Arizona data/systems.

	1:50 a.m.	Convey any necessary issues to TOCs in Seattle and San Diego.
	2:00 a.m.	Through Monday morning, January 3, 2000 at 6:00 a.m. TOC Operations will continue to monitor/document.
1/3 at	6:00 a.m.	Through 9:00 a.m. EOC will be activated to monitor first workday commute of year 2000.

Confirmed/Suggested Staffing at TOC-EOC for December 31, 1999

Decision Level:

Dick Wright, ADOT State Engineer
Sam Maroufkhani, Chief of Staff
Bill Higgins, Deputy State Engineer
Tim Wolfe, Asst. State Engineer
Jim Dorre, Central Maintenance
Jim Shea, TOC Manager

Tech Level:

Ed Jankovsky
Andy Murray
Sean Murphy
Eleanor Pritchett
Joe Reese

Operations Level:

Dottie Shoup
Ivan Wilcken
Tillie Weiss
Tobias Goldberg
Jill Greene
Carl Jones
Cesar Urista
Ron Foluch
Renee Agnew

JoAnn Nunez

Fred Bowers

5.2 Business Impact Analysis

The objective of the business impact analysis is to determine the effect Drivers, Title & Registration and FMS system failures have on ADOT's core business processes.

5.2.1 Year 2000 Failure Scenarios

I. Drivers System

Scenario One: **System down due to programming/application errors**
Resolution: Put core programming team on problem
Downtime: Less than two days
Impact: Little or no impact on MVD offices or core processes. Significant impact on DPS if down for more than **10 hours**.

Scenario Two: **System down due to power failures**
Resolution: Backup generator will kick in
Downtime: None
Impact: None

Scenario Three: **Communication links are down – unable to connect to mainframe**
Resolution: Work with utility companies to restore service
Downtime: Less than three days
Impact: If we have communication failures, it affects our networks and phone lines. It does not allow connections to mainframe. It also inhibits DPS from accessing the system.

II. Title & Registration System

Scenario One: **System down due to programming/application errors**
Resolution: Put core programming team on problem
Downtime: Less than two days
Impact: Little or no impact on MVD offices or core processes. Significant impact on DPS if down for more than **10 hours**.

Scenario Two: **System down due to power failures**
Resolution: Backup generator will kick in
Downtime: None
Impact: None

Scenario Three: **Communication lines are down**
Resolution: Work with utility companies to restore service
Downtime: Less than three days
Impact: If we have communication failures, it affects our networks and phone lines. It does not allow connections to mainframe. It also inhibits DPS from accessing the system.

III. Freeway Management System (FMS)

Scenario One: **System down due to programming/application errors**
Resolution: Put core programming team on problem
Downtime: Traffic Interchange less than three hours. All other systems less than two days.

Impact: Traffic Interchange could have impact on traffic if not fixed quickly. All other systems should have little impact on general public.

Scenario Two: **System fails due to power outages**
Resolution: Backup generator or UPS will kick in
Downtime: None
Impact: If down for more than four days, it will impact all core processes. UPS and generator will not last that long. At that point, dependent on power company to restore power and service.

Scenario Three: **Communications links are down**
Resolution: Go to a manual process
Downtime: Less than three days
Impact: Little or no impact. We can deploy a manual override process for most of the critical systems if communication lines go down.

5.3 Contingency Plan

5.3.1 Document Contingency Plan

Business Function	Application	Risk/Threat	Operating time w/o	Strategy	Contingency
Disburse Revenues	TARGATS	Unable to enter supplier monthly reports due to system failure.	3 to 4 days	The TARGATS HURF close does not run until the 4th or 5th working day of the month. This also means no mission critical processes need to be run those days, which leaves the programming staff plenty of time to fix whatever application errors occur.	TARGATS does not actually collect the funds but instead determines how much each entity receives. Some of them are a fixed %, others a fixed dollar amount, others by population. These dollar allocations can be done manually if TARGATS is down for an extended period of time (> 1week), which is the plan if we can't fix the program errors in time to run the distribution reports. **Refunds:** There is an allowance of 60 days for processing of refunds, so this can wait until problems are fixed. **IFTA Report Processing**: Reports are due to be postmarked the last day of the month, so they don't start coming in for 3 to 4 days into the month. They are not included until the next HURF cycle so time is not an issue. **IFTA Revenue Distribution:** This occurs about 6-7 days into the month, allowing time to fix problems. **Account Maintenance:** Setting up new taxpayer account must be done while customer waits, but there are manual processes in place if system is down. **Cashiering:** A system dependent process. Would be high priority if system went down. A day or two delay could be tolerated.

	Advantage	Unable to provide fund transfer documents to DOA for the cities of Phoenix, Tucson and Mesa.	3 to 4 days	Similar to TARGATS in that there is 4 or 5 working days to fix whatever program errors occurred because HURF does not close until the 4th or 5th working day of each month. This should be plenty of time to fix any application problems.	If the programming team is unable to fix the application problems, it is possible to key transfer documents directly into the DOA system. Again, these transfers can be manually calculated.
Provide Drivers and Registration Information to DPS	Drivers System	DPS Officers are unable to access license information (i.e. suspensions, revocations, DWI).	1 to 2 days	Because Jan. 1 falls on a weekend, it gives the programming staff two days to fix any application problems before any updates are made to the system. We are confident the system can be brought up within 48 hours.	Give DPS a dump (tape) of the Drivers data prior to Jan. 1. This way DPS can access the information locally should ADOT's system go down. Again, with Jan. 1 falling on a Saturday, there should not be any updates or edits to the data until the following Monday.
	Title & Registration System	DPS Officers are unable to access vehicle registration information.	1 to 2 days	The same holds true for T&R as it does for Drivers. The Jan. 1st weekend should give the programming staff plenty of time to correct any system problems. We're confident the system can be brought up within 48 hours.	Give DPS a dump (tape) of the T&R data prior to Jan. 1. This way DPS can access the information locally should ADOT's system go down. Again, with Jan. 1 falling on a Saturday, there should not be any updates or edits to the data until the following Monday.

Business Function	Application	Risk/Threat	Operating Time W/O	Strategy	Contingency
Issue Registrations – Collect Fees	Title & Registration System	Unable to register vehicles and collect fees/revenues	5 to 7 days	If the T&R system goes down over the Jan. 1 weekend and is not up by Monday, there are manual operating procedures that will be used until the system is back online.	**Processes to be initiated if system is down:** 1. Process only current month computer generated renewals. 2. Customers with prior month computer generated renewals will be instructed to do one of the following: a. Mail renewal b. Leave renewal with check or money order (no cash) and other needed documentation. When the system comes up, this will be processed as mail. c. Return when the system is up. 3. Special plates may be issued or transferred when the customer presents the current validated registration. 4. Out of state title transactions may be processed. 5. Arizona titles presented for title change must have current validated registration. 6. All permits may be issued. 7. Vehicle inspections. Although registration can be handwritten or typed, if PC fee calc is not available, the fees can be very difficult to calculate. Some registrations may not be easily calculated because of all the VLT and annual reduction changes of late. If the fee cannot be calculated, the customer must return when PC fee calc is available. **Processes Not To Do:** 1. Do not issue lost plates/tabs unless customer presents the current validated registration. 2. Do not issue duplicate registrations. 3. Do not process mobile home title transfers. This includes both AZ and out of state.

Business Function	Application	Risk/Threat	Operating Time W/O	Strategy	Contingency
Freeway Management System	Software core or server functions	Loss of FMS System functions due to date logic failures.	2 hours	Y2K remediation software task orders.	Manually operate equipment using technicians and laptops at field locations. Log incidents on paper.
	Field communications (NP & CP)	Unable to communicate with field equipment due to date sequencing errors.	2 hours	Modify and upgrade field communication equipment and software to properly utilize dates that cross century.	Manually operate equipment using technicians and laptops at field locations.
	Variable Message Signs (VMS) operation	Unable to operate signs through FMS consoles due to date logic failures.	2 hours	Modify field communication equipment and software to properly utilize dates that cross century.	Manually operate Variable Message signs locally using a laptop
	Ramp Meter signals (RM) operation	Unable to modify ramp meter timing parameters due to date logic failures.	2 hours	Modify field communication equipment and software to properly utilize dates that cross century.	Manually modify ramp meter timing parameters locally using a laptop
	Traffic Interchange Signal Controller (TISC) operation	Unable to modify traffic interchange signal timings due to date logic failures.	2 hours	Modify field communication equipment and software to properly utilize dates that cross century.	Manually modify traffic interchange signal timings locally using a laptop
	Traffic detector operation	Unable to process traffic speed, volume and occupancy data due to date logic failures.	24 hours	Modify and upgrade field communication equipment and software to properly utilize dates that cross century.	Monitor traffic flow using closed circuit television cameras and radio communications with field personnel.
Advanced Traveler Information Systems	Highway Conditions and Restrictions System (HCRS)	Loss of ability to record and report current highway conditions for Arizona	4 hours	Modify HCRS software to properly utilize dates that cross century.	Manually record highway conditions, fax or email to critical users who request it.

	Voice Remote Access System (VRAS)	Loss of ability for public to obtain current highway conditions information by telephone.	4 hours	Upgrade VRAS hardware and software systems to eliminate known Y2K problems.	Re-institute prerecorded messages for highway conditions.
	AZTech	Loss of ability for local jurisdictions to record and report current road conditions for the Phoenix Metro area.	2 hours	Test AZTech system to determine if any Y2K problems exist in the vendor supplied system.	Manually record roadway conditions. Fax or email to critical users. Provide recorded messages for current conditions.
	azfms.com website	Loss of ability for public to obtain traffic information through the Internet.	2 hours	Test azfms.com web server to determine if any Y2K problems exist.	Manually create web pages showing current traffic conditions.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Issue Credentials			
Issue Driver Licenses • CDL – Classes A, B, C • Operators – Class D • Motorcycle – Class M	DRIVERS System; PDPS; CDLIS; and VBB2 Cash Drawer (Stand Alone Program)	1. DRIVERS System is inoperable. 2. DRIVERS System and PDPS are operable but CDLIS is not. 3. DRIVERS System and CDLIS is operable but PDPS is not.	1. Unable to issue any licenses: a. Validate documents b. Collect license fees and record in Cash Drawer. c. Administer written, vision and/or road tests d. Issue Hold Out Receipt e. Customer must return for photo capture/credential issuance when Drivers is operational. 2. Issue Class D & M licenses only. For CDL: a. Validate documents b. Collect CDL fees and record in VBB2 Cash Drawer c. Administer written, vision and/or road tests d. Take photo e. Issue CDL Hold Out Receipt f. Update record, print credential and mail to driver when CDLIS is operational. **Note**: Field office will need to print credential; stuff credential in mailing envelop as image resides on local server until a credential is printed. 3. Issue all classes of licenses; queue up PDPS messages on disk until PDPS is operational. **Note**: Licenses are manually cancelled if subsequent PDPS response reveal the applicant was not entitled to the license.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Issue Instruction Permits	DRIVERS System; PDPS; CDLIS; and VBB2 Cash Drawer (Stand Alone Program)	1. DRIVERS System is inoperable. 2. DRIVERS System and PDPS are operable but CDLIS is not. 3. DRIVERS System and CDLIS is operable but PDPS is not.	1. Unable to issue any instruction permits: a. Validate documents b. Collect permit fee and record in VBB2 Cash Drawer. c. Administer written & vision tests d. Issue handwritten Instruction Permit 2. Issue Class D & M permits only. For CDL permits: a. Validate documents b. Collect permit fees and record in Cash Drawer c. Administer written and vision tests. d. Take photo e. Issue Hold Out Receipt f. Update record, print permit credential, and mail to driver when CDLIS is operational. **Note**: Field office will need to print credential; stuff credential in mailing envelop as image resides on local server until a credential is printed. 3. Issue all classes of permits; queue up PDPS messages on disk until PDPS is operational. **Note**: Permits are manually cancelled if subsequent PDPS response reveal the applicant was not entitled to the permit.
Issue Identification Cards	DRIVERS System & VBB2 Cash Drawer (Stand Alone Program)	1. DRIVERS System is inoperable.	1. Validate documents; collect fee and record in Cash Drawer; Take photo; Issue Hold Out Receipt. Customer must return for photo capture/ID card issuance when Drivers is operational.
Issue Restricted Permit	DRIVERS System; PDPS; and VBB2 Cash Drawer (Stand Alone Program)	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to issue any restricted permits. 2. Issue restricted permits; queue up PDPS messages on disk until PDPS is operational. **Note:** Restricted permits are manually cancelled if subsequent PDPS response reveal the applicant was not entitled to the permit.
Issue ADOT Credentials (MVD Employee, ADOT Board Member, etc.)	DRIVERS System	1. DRIVERS System is inoperable.	1. Customer must return when Drivers becomes operational.
Reinstate Driving Privileges	DRIVERS System & VBB2 Cash Drawer	1. DRIVERS System is inoperable	1. Unable to reinstate driving privileges; unable to determine reinstatement fee(s) due.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Collect Miscellaneous Fees (Abandoned Vehicle, NSF Checks)	DRIVERS System & VBB2 Cash Drawer	1. DRIVERS System is inoperable	1. Unable to collect miscellaneous fees
CDLIS Transactions			
CDLIS Searches	DRIVERS SYSTEM & CDLIS	1. See Issue Driver License Category	1. See Issue Driver License Category
Create CDLIS Pointer Record	DRIVERS SYSTEM & CDLIS	1. See Issue Driver License Category	1. See Issue Driver License Category
Change State of Record	DRIVERS SYSTEM & CDLIS	1. See Issue Driver License Category	1. See Issue Driver License Category
Change Driver Data	DRIVERS SYSTEM & CDLIS	1. DRIVERS Systems is inoperable 2. DRIVERS System is operable but CDLIS is not.	1. Unable to send or queue up CDLIS messages. 2. Perform changes to DRIVERS record; queue up Change Data messages on disk until CDLIS is operational.
Driver Status Request	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS to determine State of Record and submit request. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete CDLIS transaction. Hold paperwork/request in file until CDLIS is operational.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Driver Status Request Response	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to retrieve response. Queue up response message until retrieved. 2. Unable to receive response message.
Driver History Request	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS to determine State of Record and submit request. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete CDLIS transaction. Hold paperwork/request in file until CDLIS is operation
Driver History Request Response	***DRIVERS SYSTEM & CDLIS***	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to retrieve response. Hold response message in queue until retrieved. 2. Unable to receive response message.
Mark Driver as Unique	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete CDLIS transaction. Hold paperwork in file until CDLIS is operational.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Report Out of State Conviction	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS. Hold paperwork in file until DRIVERS is operational. 2. Unable to determine State of Record or transmit violation data. Hold paperwork in file until CDLIS is operational.
Delete Driver Pointer Record	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS. Hold paperwork in file until DRIVERS is operational. 2. Unable to complete CDLIS transaction. Hold paperwork in file until CDLIS is operational.
Negate Out of State Conviction	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS. Hold paperwork in file until DRIVERS is operational. 2. Unable to determine State of Record or transmit negated data. Hold paperwork in file until CDLIS is operational.
Create CDL Violation Pointer Record	DRIVERS SYSTEM & CDLIS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but CDLIS is not.	1. Unable to access CDLIS. Hold paperwork in file until DRIVERS is operational. 2. Unable to complete CDLIS transaction. Hold paperwork in file until CDLIS is operational.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
PDPS Transactions			
Driver Pointer Inquiry	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. See Issue Driver License Category 2. See Issue Driver License Category
Rail Road Employer Inquiry	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete PDPS transaction. Hold paperwork/request in file until PDPS is operational.
Employer Inquiry	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete PDPS transaction. Hold paperwork/request in file until PDPS is operational.
Airline Employer Inquiry	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete PDPS transaction. Hold paperwork/request in file until PDPS is operational.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Change Driver Pointer Data	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to send or queue up PDPS messages. 2. Perform changes to DRIVERS record; queue up Change Data messages on disk until PDPS is operational.
Driver Status Request	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete PDPS transaction. Hold paperwork/request in file until PDPS is operational.
Driver Abstract Request	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Unable to complete PDPS transaction. Hold paperwork/request in file until PDPS is operational.
Delete Driver Pointer Record	DRIVERS SYSTEM & PDPS	1. DRIVERS System is inoperable. 2. DRIVERS System is operable but PDPS is not.	1. Unable to access PDPS. Hold paperwork/request in file until DRIVERS is operational. 2. Update DRIVERS record; queue up PDPS message on disk until PDPS is operational.

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Record Updates			
Record / Update Violations	DRIVERS System	DRIVERS System is inoperable.	IV. Unable to record violations on-line or by batch. a. Hold violation documents in file until DRIVERS System is operational. b. Continue to pick up violations reported by FTP & ACAP – store until DRIVERS System is operational. c. Computer Operations to hold all magnetic or cartridge tapes of violations for processing when DRIVERS is operational.
Record / Delete Warrants	DRIVERS System	DRIVERS System is inoperable.	V. Unable to process warrants on-line or by batch. a. Hold warrants documents in file until DRIVERS System is operational. b. Continue to pick up warrant data reported by FTP & ACAP – store until DRIVERS System is operational. c. Computer Operations to hold all magnetic or cartridge tapes of warrants for processing when DRIVERS is operational.
Record/Update NRVC Suspensions	DRIVERS System	DRIVERS System is inoperable.	Unable to process Non-Resident Violators Compact suspension or satisfied suspension data received from out of state courts. Hold all NRVC documents until DRIVERS is operational.
Record Court Ordered Corrective Action	DRIVERS System	DRIVERS System is inoperable.	Unable to process Court Ordered Suspensions, Revocations, Restricted Permits actions. Hold court documents in file until DRIVERS is operational.
DI Automation Corrective Actions	DRIVERS System	DRIVERS System is inoperable.	Unable to evaluate driving records to determine necessary corrective actions. Run DI Automation first possible weekend when DRIVERS is operational.
Update Corrective Actions based on Court Dispositions or Remittance of Reinstatement Requirements	DRIVERS System & VBB2 Cash Drawer	DRIVERS System is inoperable.	Unable to access driving records to: a. Evaluate actions and determine what should be voided, stayed, etc., based on court dispositions; and update the records. b. Evaluate actions to determine if all reinstatement requirements are met and update the records. Hold all court and reinstatement document in file until DRIVERS System is operational

Business Function	Application	Risk/Threat	Strategy (Item Number Correspond with Risk/Threat Number)
Law Enforcement Queries			
Inquire on the DRIVERS System to determine driver license status; prior history; major violations in past 5 years; current withdrawal actions.	DRIVERS System; ALETS and NLETS	1. DRIVERS System is inoperable but NLETS and ALETS are operational. 2. DRIVERS and ALETS are operable but NLETS is not 3. DRIVERS and NLETS are operable but ALETS is not	1. Unable to receive inquiry. a. Contact DPS to have them obtain a dump (tape) of the DRIVERS Database (ad hoc program MV738) during week of December 27 to enable them to access the information locally. 2. Out of state law enforcement unable to transmit KQ inquiry. a. Out of state law enforcement can teletype to OSI for driver status, etc. 3. Arizona law enforcement unable to transmit DQ inquiry. a. Arizona law enforcement can teletype to OSI and/or place call to MVD Records Section.

5.3.1.1. Other Critical Business Functions

1. Financial System

Business Function	Application	Risk/Threat	Operating time w/o	Strategy	Contingency
Payroll Processing & Contract Payments	Advantage	Interruption in payroll and contract payments.	2 weeks	This plan addresses processes that rely on direct access to AFIS (Arizona Financial Information System) and HRMS (Human Resource Management System). The plan is to minimize the impact on normal business operations.	Plan based on various outage scenarios. Scenario 1: Communications link is down. - Continue normal processing in Advantage. The interface file processing would be delayed. For any document that needed to be paid, ADOT would request a hand-written payment. Once system is up, ADOT would process all interface files. Scenario 2: AFIS is down, Advantage is up. - Continue normal processing of transactions in Advantage. ADOT would request that ADOA process a manual check from the highway fund for a specified dollar amount representing the total obligations that cannot be deferred. The check would be deposited into ADOT's Payroll Revolving Fund to fund payments that are state mandated, such as contractor payments and

					debt service payments. ADOT would then issue manual checks from this account. Scenario 3: Advantage is down. - If TPX connection is up, ADOT would enter documents directly into AFIS. If TPX is down, ADOT staff would go to ADES or ADOA to log into AFIS. ADOT would record all documents entered into AFIS on an Excel spreadsheet to track what was spent and deposited into AFIS so that expenditures do not exceed funding. The team would upload the spreadsheet data to Advantage when the system is up again. Scenario 4: AFIS is up but HRMS is down. - HRMS creates paychecks and then uploads the information to AFIS. If HRMS is down payroll week, ADOT would rely on ADOA to bring the system up within 48hrs to produce payroll checks. If this is not possible, ADOT could not generate payroll checks in a timely basis. If HRMS is down when entry of Bi-Weekly time sheets needs to occur and does not come up until day of payroll check generation, then ADOT could pay all permanent employees for 80 hours and make the corrections later. Scenario 5: AFIS and HRMS are down. - Same as scenario 4. Scenario 6: AFIS is down but HRMS is up. - Continue normal processing of payroll transactions. HRMS will create the payroll checks and the interface to AFIS can be run later.

2. Motor Vehicle Systems

Business Function	Application	Risk/Threat	Operating time w/o	Strategy	Contingency
1.Third Party Administration Business Duties	Computer System Failure	Third Party Administration unable to update new and pending records.	1 Month	Manually Document the transport of Fingerprint documents to Background Coordinator.	If the Database is not available, Logsheets would be kept until Database is restored.
1.1 Third Party Administration Business Duties	Computer System Failure	Third Party Administration unable to print certificates of Certification.	1 Month	Manually Document and issue Certificate.	N/A
1.2 Third Party Administration Business Duties	Computer System Failure	Special Projects unable to issue RACF.	None	N/A	Electronic Data Services will maintain all original request for RACF ID's and will start issuing when Database is restored.
1.3 Third Party Administration Business Duties	Telephone System Failure	Third Party Administration unable to communicate with Quality Assurance.	1 Day	Cell Phone will be utilized in the event of phone system failure until system is restored.	N/A
1.4 Third Party Administration Business Duties	Telephone System Failure	Third Party Administration unable to communicate with training.	1 Day	Cell Phone will be utilized in the event of phone system failure until system is restored.	N/A
1.5 Third Party Administration Business Duties	Computer System Failure	Third Party Administration unable to input measurement data.	1 month	Third Party Administration will manually track the measurement.	N/A
1.6 Third Party Administration Business Duties	Computer System Failure	Third Party Administration unable to track general business duties.	1 month	Third Party Administration will manually document the data.	Third Party Administration will track documents manually & Inform the Authorized Third Parties.
1.7 Third Party Administration Business Duties	Computer System Failure	Limit Site Visits	2 Days	Initial site visit can wait as long as 1 month.	If fuel for vehicles is not available, site visits will cease until the fuel is available.
1.8 Third Party Administration Business Duties	Telephone System Failure	Third Party Administration unable to provide customer service via internet & Phones.	None	Cell Phones will be utilized.	N/A

Business Function	Application	Risk/Threat	Operating Time W/O	Strategy	Contingency
1.9 Third Party Administration Business Duties	APS/SRP	Power Failure	1 month	Division would use emergency generators to restore operational power.	Unit Manager would assess the total manpower required to maintain operational effectiveness and put non-essential personnel on leave until power systems are restored.
2. Quality Assurance Unit	TPX Mainframe Failure	Quality Assurance Unit unable to verify documents against TPX.	1 month	Can continue to check 85% of the processor's work and manually document.	Transactions submitted to the QA Unit will be checked manually and will be documented on logs for each processor.
2.1 Quality Assurance Unit	TPX Mainframe Failure	Quality Assurance Unit unable to provide exceptional customer service.	1 month	Would provide answers to general knowledge questions where TPX would not be required.	N/A
2.2 Quality Assurance Unit	Telephone System Failure	Quality Assurance Unit unable to provide customer service to the Authorized Third Parties.	1 Day	Cell phones will be utilized.	N/A
2.3 Quality Assurance Unit	APS/SRP	Power Failure	1 Day	Division would use emergency generators to restore operational power.	Unit Manager would assess the total manpower required to maintain operational effectiveness and put non-essential personnel on leave until power systems are restored.
3. Authorized Third Party Title & Registration Processing	TPX Mainframe	Third Parties would not have TPX access to process transactions on-line.	1 Day	Third Parties to notify customers, Third Party Administration, and Special Projects	TPX not available
3.1 Authorized Third Party Title and Registration Processing	TPX Mainframe	Third Parties would not have TPX access to process transactions on-line.	1 Day	Third Parties to serve customers by processing: Out of state title transactions, current month Renewals, 3 day permits, 30 day drive out permits	TPX not available. Authorized Third Parties will track documents manually
3.2 Authorized Third Party Title	TPX Mainframe	Authorized Third Parties unable to	N/A	N/A	TPX not available; without prior day

& Registration Processing		make deposits or reconcile.			information, reconciling and depositing would be impossible

Business Function	Application	Risk/Threat	Operating Time W/O	Strategy	Contingency
3.3 Authorized Third Party Title & Registration Processing	TPX Mainframe	Authorized Third Parties unable to complete data entry portion of on the Job Training.	15 Days	Authorized Third Parties would delay data entry and complete phase 1 and 2 of the training manual.	TPX not available
3.4 Authorized Third Party Title & Registration Processing	Telephone System Failure	Authorized Third Parties unable to communicate with Quality Assurance and Revenue Accounting.	3 Days	Authorized Third Parties should utilize cell phones.	Quality Assurance Unit has a cell phone that can be contacted by the Authorized Third Parties
3.5 Authorized Third Party Title & registration processing	Telephone System Failure	Authorized Third Parties unable to contact Special Project Help Desk.	None	N/A	N/A
3.6 Authorized Third Party Title & registration processing	Power Failure	Authorized Third Parties unable to use validators.	3 Days	Authorized Third Parties would be able to hand validate.	N/A
4. Authorized Third Party Driver license processing	TPX Mainframe	Authorized Third Parties unable to process Drive License transactions.	None	N/A	Authorized Third Parties will inform customers, Third Party Administration, Special Projects
4.1 Authorized Third Party Driver license processing	Telephone System Failure	Authorized Third Parties unable to contact Quality Assurance, Third Party Administration.	1 Day	Cell Phones will be utilized in the event of phone system failure until system was restored.	N/A
4.2 Authorized Third party Driver license processing	Power Failure	Authorized Third Parties unable to retrieve photos from digital driver license equipment.	None	N/A	Power Failure & Computer System Failure.

5.3.2. Other Key Contact Names and Responsibilities

There are a number of other areas within ADOT that may not be defined as mission critical but do provide a valuable function to the department. These areas may play an important role should the department experience Y2K problems. Because of this we have identified each of these business areas, a contact person, and area of responsibility. If a problem does occur that effects these areas, we have a reference point of where to look for help.

Business Area	Contact Person	Phone Number(s)	Call If….
TSG:			
General Operations	Bob Harris	602-712-7829	Security, Mail & Facility Issues
Audit/Analysis	John Bogert	602-712-7141	N/A
Legislative Services	Jennifer McDonald	602-712-8836	N/A
Competitive Gov't	Karen Mills	602-712-8317	N/A
Equipment Services	Joe O'Neill	602-712-7795	Vehicle/equipment issues
Procurement	Corrine Culver	602-712-8400	Emergency contract issues
Employee Development	Judy Barrett	602-712-6680	N/A
Budget/ Strategic Planning	David Jankofsky	602-712-8981	N/A
Finance	John McGee	602-712-7441	Bond or financial issues
Human Resources	Jerry Moreland	602-712-7331	Hiring of resources
Community Relations	Doug Nintzel	602-712-7399	Public relations issues
Safety	Bill Warren	602-712-7745	All safety issues
Civil Rights	Lisa Wormington	602-712-7661	N/A
Aeronautics	Gary Adams	602-294-9144	Plane/air travel issues
Transportation Research Center	John Semmens	602-712-3137	N/A
ITD:			
Operations Material	Doug Forstie	602-712-7286	N/A
Operations Maintenance	Jim Dorre	602-712-7410	N/A
Operations Construction	Ron Williams	602-712-7323	Construction contract issues
Transportation Planning	Mary Lynn Tischer	602-712-6872	N/A
Bridge	Dan Davis	602-712-7481	N/A
Traffic Engineering	Mike Manthey	602-712-8888	Traffic signal issues
Roadway Engineering	John Louis	602-712-7707	N/A
Engineering Technical	Dave Allocco	602-712-7275	N/A
Right of Way	Steve Hansen	602-712-7316	N/A
Statewide Proj. Mgt.	Bob Miller	602-712-7578	Construction project issues
AZ/Sonora Liason	Manny Cuan	602-712-8100	N/A
Valley Project Mgt.	Dan Lance	602-712-8965	Construction updates
Regional Freeway Syst.	Chuck Eaton	602-712-7518	N/A
MVD:			
Customer Service	Diane Minton	602-712-8968	Supports MVD field offices
Enforcement	Rick Athey	602-712-8152	MVD Enforcement officers
Competitive Gov't	Penny Martucci	602-712-7328	Third Party support

Internal Support	Charlene Knapp	602-712-8402	Internal technical support
Hearing Office	Dennis Lusk	602-712-7737	N/A
Policy, Planning & Rules	Stacey Stanton	602-712-8152	N/A
Central Support Services	Ruth Halikowski	602-712-8511	MVD budget issues
Special Border Project	George Bays	520-459-7601	N/A

5.4 Testing

5.4.1 Validate Contingency Plans

In order to ensure the policies and procedures documented in this plan are valid, tests will be conducted by each critical business area up until the last week of December. These tests are meant to confirm the accuracy of each procedure and determine if any other processes were overlooked. This will also give each team an opportunity to train its members on the plan.

5.4.2. Update Plan and Procedures

Updates to ADOT's Business Continuity & Contingency Plan will be made as organizations change and functions are modified. Additionally, if processes change as ADOT proceeds with education and training, the plan will be updated or modified to meet the needs of the organization. The Y2K manager will be the steward of this plan.

6 Training

A key component to ensure business continuity is education. Prior to January 1, 2000, business area managers will meet with each of the various business units to review the Y2K contingency plan and train personnel on policies and procedures. If problems do occur as a result of Year 2000, each business area will understand its role and responsibility.

ADOT will coordinate all training and education through the Office of Project Management. The Office of Project Management will work with business area managers to educate their staff on Y2K contingency procedures and protocol. This will ensure everyone is versed on what to do and who to call in case of emergency.

7 Glossary

Business Continuity – The ability to continue essential business processes at an acceptable level despite a support function outage. It includes all of the core business functions that define the organization. It describes activities that will enable an agency to continue to perform business functions after a disruption has occurred.

Business Continuity Plan - Providing for the timely availability of all of the resources necessary to operate critical business processes at a level acceptable to the public. The overall plan, including risk mitigation strategy, contingencies and recovery, to ensure the organization's core business processes continue in spite of disruptions to infrastructure and/or support systems. It describes activities that will enable an agency to continue to perform business functions after a disruption has occurred.

Business Function - A group of logically related tasks that are performed together to accomplish an objective. The business functions are processes that must occur to enable an agency to provide services. A set of recurring activities - a flow of information and materials that produces something of value for a customer or the public.

Contingency - Planned action(s) to eliminate or reduce the impact of a risk/threat at or after the Time Horizon to Failure.

Contingency Plan – Describes how an agency intends to respond to events, which disrupt normal operations. It is a written plan used to respond to the disruption of an agency's operations. This plan may focus on response to specific disruption scenarios. In general, a contingency plan describes the steps the agency would take, including the activation of manual processes, to ensure the continuity of its core business processes in the event of a Year 2000 induced system failure or other potential disasters.

8 Executive Approval

ARIZONA DEPARTMENT OF TRANSPORTATION

TRANSPORTATION SUPPORT -- TECHNICAL INFORMATION RESOURCES

206 South Seventeenth Avenue, Mail Drop 119A, Phoenix, Arizona 85007-3213

JANE DEE HULL
Governor

MARY E. PETERS
Director

The following signatures indicate support and approval of ADOT's Year 2000 Business Continuity & Contingency Plan as set forth in this document.

Responsibility	Approval Signature and Title	Date
Agency Director:		
Chief of Staff:		
Agency CIO:		